

§ 4501

## EMPLOYEES

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(3) "Government" means the Government of the United States and the government of the District of Columbia.

Pub.L. 89-554, Sept. 6, 1966, 80 Stat. 442.

## Reviser's Notes

Derivation: United States Code  
5 U.S.C. 2122

Revised Statutes and Statutes at Large  
Sept. 1, 1954, ch. 1208, § 303, 68 Stat. 1113.  
Aug. 18, 1950, Pub.L. 86-168, § 202(d), 73 Stat. 339.

## Explanatory Notes.

In paragraph (1), the term "Executive agency" is coextensive with and substituted for "executive department or independent agency in the executive branch of the Government including a Government-owned or controlled corporation" in view of the definition of "Executive agency" in section 105. Application to the General Accounting Office (included in the term "Executive agency") is based on former section 903a.

Paragraph (2) is supplied because the definition of "employee" in section 2105 does not encompass individuals employed by the government of the District of Columbia.

Paragraph (3) is supplied for clarity and convenience.

Standard changes are made to conform with the definitions applicable and the style of this title as outlined in the preface to the report.

## Cross References

Executive agency, see section 105 of this title.  
Report and recommendations to President on results of incentive awards program under this chapter, see section 1308 of this title.

## Library References

United States Code (39(5)).

C.J.S. United States §§ 17, 48.

## 4502. General provisions

(a) Except as provided by subsection (b) of this section, a cash award under this chapter may not exceed \$5,000.

(b) When the head of an agency certifies to the Civil Service Commission that the suggestion, invention, superior accomplishment, or other meritorious effort for which the award is proposed is highly exceptional and unusually outstanding, a cash award in excess of \$5,000 but not in excess of \$25,000 may be granted with the approval of the Commission.

(c) A cash award under this chapter is in addition to the regular salary of the recipient. Acceptance of a cash award under this chapter constitutes an agreement that the use by the Government of an idea, invention, or device for which the award is made does not form the basis of a further claim of any nature against the Government by the employee, his heirs, or assigns.

(d) A cash award to, and expense for the honorary recognition of, an employee may be paid from the fund or appropriation available for activity primarily benefiting or the various activities benefiting the Government. The head of the agency concerned determines the amount to be

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## INCENTIVE AWARDS

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title. The President determines the amount to be paid by each activity for a Presidential award under section 4504 of this title. Pub. L. 89-554, Sept. 6, 1966, 80 Stat. 442.

## Historical and Revision Notes

## Reviser's Notes

Derivation: United States Code  
5 U.S.C. 2123(d), (e), (g)

Revised Statutes and Statutes at Large  
Sept. 1, 1954, ch. 1208, § 304(d), (e), (g), 68 Stat. 1113.

## Explanatory Notes.

In subsections (a) and (b), the words "cash award" are substituted for "monetary award" and "such award" to conform to the remainder of the chapter.

In subsection (c), the word "Government" is substituted for "Government of the United States or the government of the District of Columbia" in view of the definition of "Government" in section 4501.

Standard changes are made to conform with the definitions applicable and the

style of this title as outlined in the preface to the report.

Delegation of Functions. Functions of the President under former section 2123 (c) [now subsec. (d)] of this section delegated to the Chairman of the Civil Service Commission, see section 2 of Ex.Ord.No.11228, June 14, 1965, 30 F.R. 7739, set out as a note under section 301 of Title 5, The President.

## Cross References

Weight to be accorded incentive awards under this chapter in selecting employees for promotions, see section 3302 of this title.

## Notes of Decisions

## 1. Taxability

The moneys received as government employee's incentive award were includible in gross income. *Denniston v. C. I. R.*, 1965, 343 F.2d 312, 120 U.S.App.D.C. 30.

Award made to government employee under former section 2123 of this title was

taxable as income and was not excepted from income by provision of section 74 of Title 26 relating to prizes and awards made primarily in recognition of religious, charitable, educational, artistic, literary, or civic achievement. *Griggs v. U. S.*, 1963, 314 F.2d 515, 161 Ct.Cl. 84.

## § 4503. Agency awards (TITLE V)

The head of an agency may pay a cash award to, and incur necessary expense for the honorary recognition of, an employee who—

(1) by his suggestion, invention, superior accomplishment, or other personal effort contributes to the efficiency, economy, or other improvement of Government operations; or

(2) performs a special act or service in the public interest in connection with or related to his official employment.

Pub.L. 89-554, Sept. 6, 1966, 80 Stat. 443.

## Historical and Revision Notes

Derivation: United States Code

Revised Statutes and Statutes at Large

06 AUG 1973

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MEMORANDUM FOR: Director of Communications  
Director of Finance  
Director of Joint Computer Support  
Director of Logistics  
Director of Medical Services  
Director of Personnel  
Director of Security  
Director of Training  
Director of Planning, Programming and Budgeting  
Special Assistant for Information Control

SUBJECT: Competitive Evaluation System for Employees of the  
Management and Services Directorate

1. A new competitive evaluation system has been adopted for the professional careerists, through the GS-14 level, of the MG career service. I would like this new system to be utilized by the other career services throughout the Management and Services Directorate. You may feel it necessary to make minor modifications to fill some peculiar requirements of your Service, but I want to approve any basic modifications before you initiate the system.

2. Attached are the DD/M&S Administrative Instruction No. 73-18, "Fitness Reports for Members of the MG Career Service" and the explanation of the evaluation system which uses the information from the Fitness Report as the basic data for evaluating and ranking the careerists. These two papers should provide you with the philosophy and objectives as well as the technical procedures for revising your evaluation system.

3. Please adopt this evaluation system for your careerists as quickly as possible and provide me with a copy of the announcement and the instructions which are prepared explaining the system to your employees.

STATINTL

HAROLD L. BROWMAN  
Deputy Director  
for  
Management and Services

Attachments

## AN EVALUATION SYSTEM FOR THE SUPPORT CAREER SERVICE

### I. OBJECTIVES OF THE EVALUATION SYSTEM

The objectives of the Support Career Service Evaluation System are:

- A. To provide each officer with the standards upon which he will be competitively evaluated;
- B. To identify qualified "S" careerists who merit advancement on the basis of their demonstrated performance and project potential;
- C. To counsel and motivate the individual "S" careerist by providing relevant information on how he is performing in relation to others in his grade;
- D. To improve the long range effectiveness of the Management and Services Directorate by identifying "S" careerists with executive potential;
- E. To identify "S" careerists whose current performance signals the need for counseling, training, reassignment, demotion or other action including separation.

### II. OVER-ALL POLICY

It is the policy of the Deputy Director for Management and Services (DD/M&S):

- A. To rank competitively all "S" careerists at specific grade levels at least annually and to use these rankings to determine promotions, to aid in the assignment process and to identify those employees who may need counseling or other career service attention;
- B. To permit accelerated advancement within the "S" Career Service;
- C. To require that all substantive matters considered in the ranking process be made a matter of record without disclosing the source of privileged items. This information will be used by the DD/M&S, the Career Management Officer (CMO) or by some other officer, designated by the DD/M&S, to counsel the individual employee.

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III. WORKING PRECEPTS

The following precepts are to be used as the basis for evaluation:

- A. The Official Personnel Folder should be used as the principal source of information for panel consideration. It may, however, be supplemented by any other material that the CMO or a panel member may consider relevant;
- B. Emphasis should be placed upon each officer's ability to perform effectively in a wide range of responsibilities;
- C. Emphasis should be placed upon an officer's demonstrated willingness to accept assignments in the interest of the career service, except where circumstances justify limitations on his availability;
- D. Emphasis should be placed upon each officer's ability to perform effectively at a higher grade level;
- E. While each officer's executive potential must be evaluated, this evaluation becomes critical at the mid-officer level (GS-12, 13, or 14);
- F. Emphasis should be placed on more recent performance;
- G. Emphasis should be placed upon each officer's demonstrated willingness to acquire and update his communications skills and his knowledge of the support and management process as evidenced by participation in sponsored and unsponsored internal and external training, attendance at professional conferences, etc.

IV. RANKING INSTRUCTIONS

1. Each section of the attached Ranking Worksheet identifies a specific dimension of the "S" careerist. While Support Officers may hopefully share common attributes and talents, there will be a distinct difference in the skills, performance and potential of individual officers, depending upon their position and grade with the Support Career Service. The following weighting factors are to be used to determine the net scores:

|                       | Junior Level<br>(GS-07 to 11) | Mid Level<br>(GS-12 to 14) |
|-----------------------|-------------------------------|----------------------------|
| Performance           | 5                             | 4                          |
| Skills and Experience | 3                             | 4                          |
| Potential             | 5                             | 4                          |

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2. To achieve an objective, competitive ranking of all "S" careerists, the attached worksheet will be used by each subpanel member. After each panel member has prepared a separate worksheet for each officer within the specific grade, he will then rank order all officers on the basis of their over-all weighted scores. When each has developed his ranking list, the subpanel as a whole will reach a consensus on a final ranking which will in turn be submitted to the Staff Operations Panel. A summary worksheet is to be prepared on each rated individual to reflect the panel's consensus rating.

#### V. SUBPANEL FINDINGS

Each subpanel will present the following to the Staff Operations Panel:

- A. A list of all "S" Careerists within the grade under review; the listing should indicate the boundaries of upper, middle and, where appropriate, lower groups of officers or those who could not be rated. Supporting explanations for the decision not to rate officers must be included. Recommendations for other specific career service action should be indicated;
- B. The summary worksheets supported by the individual panel members ranking worksheets are to be presented to the Staff Operations Panel to be used to counsel employees when appropriate;
- C. Any recommendations for improving the evaluation system or ranking criteria. Comments on rating or reviewing officers may also be included in these recommendations.

ADMINISTRATIVE

REF ID: A66101

## ATTRIBUTE DEFINITIONS

### A. PERFORMANCE

1. Creativity      The degree to which an individual identifies, develops, and articulates innovative alternatives and solutions to problems.
2. Initiative      The degree to which an individual undertakes action on his own or actively seeks additional tasks or problems for solution.
3. Judgment      The degree to which an individual is able to make sound recommendations or effective decisions.
4. Productivity      The degree to which an individual completes assignments with minimal supervision and within environmental constraints (time, information, etc.).
5. Reliability      The degree to which an individual can consistently be expected to produce high quality work.
6. Self-reliance      The degree to which an individual relies on his own confidence, efforts or powers to accomplish a given task; i.e., his ability to operate successfully on his own.
7. Versatility      The degree to which an individual displays a willingness to accept and the ability to perform competently in a variety of assignments.
8. Integrity      The degree to which an individual is willing to take the personal risk of expressing independent opinions and maintaining his position in the face of opposition.
9. Discretion      The degree to which an individual evidences the ability to act prudently within the operating environment.

B. SKILLS AND EXPERIENCE

1. Conceptual      The degree to which an individual can identify the significance of a given situation or problem, develop alternatives and recommend a reasonable course of action.
2. Experience      The degree to which an individual has successfully performed in a wide range of jobs; e. g. , assignments within the Management and Services Directorate, or in other Directorates or Independent Offices.
3. Interpersonal      The degree to which an individual successfully relates and works with subordinates, peers, supervisors and counterparts in other organizations.
4. Leadership      The degree to which an individual influences or motivates others in the successful achievement of tasks or activities.
5. Managerial      The degree to which an individual is able to organize and direct an activity or task to its completion.
6. Self-expression      The degree to which an individual can effectively express himself orally and in writing.
7. Technical      The degree to which an individual has mastered and keeps abreast of the substantive area(s) within which he works.

ADMINISTRATIVE  
INTERNAL USE ONLY

C. DEMONSTRATED EVIDENCE OF POTENTIAL

1. Advancement      Does the individual's past year of performance indicate that he has no apparent prospect for promotion; has limited potential for further advancement; has average potential for further advancement; or is ready for promotion and has a demonstrated potential for success at higher levels of responsibility within the Directorate.
2. Executive        The degree to which an individual can be expected to mature and develop the variety of skills needed at the highest levels of the Directorate.
3. Self-improvement      The degree to which an individual seeks to enhance his skills and ultimate value to the Directorate; e.g., formal training, attendance at professional conferences, etc.

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HEREIN IS UNCLASSIFIED  
DATE 11-14-01 BY 60322